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|  <p>Category: Administrative</p> <p>Policy applicable for: Faculty/Staff</p> | <p><i>Policy Title:</i> Submission of Materials to the Board of Trustees</p> <p>Effective Date: 08/01/2011</p> <p>Prior Effective Date: mm/dd/yyyy</p> <p>Enabling Acts: University Rule 3361-10-1-04</p> | <p><i>Policy Number:</i> 1.2.1</p> <p>Policy Owner: Sr. VP for Administration and Finance</p> <p>Responsible Office(s): Board of Trustees Office General Counsel</p> |
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Background

In order to maintain consistency and uniformity of the materials submitted to the Board of Trustees, procedures have been established for each type of document as listed in the policy below.

Policy

Materials submitted to the Board of Trustees for information or consideration at a Board meeting are of three types:

1. Presentation or briefing summaries
2. Informational reports
3. Recommendations for action.

To be presented at a specific meeting, an item should be submitted to the Office of the Board of Trustees (Board Office) as an agenda item no later than the date established for notification of agenda items for board meeting (approximately 4 and one-half weeks prior to the board meeting). Signed presentations, reports and recommendations for action should be submitted to the Office of the Board of Trustees (Board Office) no later than the due date established for receipt of materials, which is approximately three and one-half weeks prior to a Board meeting. The Board Office determines the notification and submission dates and prepares a yearly calendar of Board Meeting dates and the corresponding "notification of agenda item" and "materials due" dates. This calendar is distributed to the president and cabinet and is available on the Board of Trustees website.

The preferred submission method for all documents is electronic and documents should include electronic signatures.

Specific templates have been created for submission of presentation summaries, informational reports, and recommendations to the Board. Instructions for preparing the forms and examples are provided in the respective section below. Electronic templates are available by email from board.trustees@uc.edu or phoning the Board Office at 556-3233.

Informational Reports

The following items should be submitted as informational reports:

- Academic Calendar
- Academic Leaves
- Assistant and Associate Faculty Promotions (without tenure)
- New Titles Added to the Classification Plan
- Personnel Actions
- University Holiday Calendar

An informational report (e.g., the Academic Calendar) should be sent via email as a word document to the Board Office using the appropriate template. Upon receipt of the report, the Board Office will forward it to the president who will review the report and indicate approval by a signature. The report will be returned to the Board Office and the preparer of the report will be notified if the document will not be presented to the Board.

Presentation Summaries

1. Summaries of presentations to the Board should be one page or less in length.
2. The briefing summary should be submitted on the form entitled "Presentation to the Board of Trustees" (see [Attachment A](#)). It should be typed in the format indicated on the attached sample and per the instructions given below. The name of the presenter(s) should be provided and a signature line(s) with title should provide the name of the individual(s) who prepared the summary.
3. There may be an attachment to a briefing summary. A brief and concise explanation of the attachment should be included in the summary. It should not be necessary to read the attachment in order to understand the summary.
4. Supporting documents for briefings (i.e., brochures, etc.) which cannot be included in the Board Book should be submitted to the Board Office with the summary by the "materials due" date. These items will be delivered to the Board members with the Board Book approximately ten days prior to the meeting, or at a time designated by the briefing presenter.

Informational Reports

1. Informational reports may have numerous pages or be only one or two pages in length.

2. A short report should be submitted on the form entitled "Report to the Board of Trustees" (see [Attachment B](#)); the same form should be used as a cover page for a lengthy report.

For a short report, the text should be typed in the format indicated on the attached sample and per the instructions given below. If more than one page is required, a heading should be typed on an additional page stating the title of the recommendation, date of submittal, and page number.

As a cover sheet for a lengthy report, the same format should be used giving a brief description of the nature of the report and a notation that the report is attached. A signature line(s) with title should provide the name of the individual(s) who prepared the report.

3. Reports may be submitted to individual Board committees upon request.
4. A report may be submitted to the Board Office at any time (prior to the "materials due" date) and will be held for the next scheduled Board meeting.

Recommendations to the Board of Trustees

1. A recommendation should be one page or less in length. However, additional pages should be used if the recommendation requires a more detailed explanation. If more than one page is required, a heading should be typed on an additional page stating the title of the recommendation, date of submittal, and page number.
2. A recommendation should be submitted on the form entitled "Recommendation to the Board of Trustees" (see [Attachment C](#)). It should be typed in the format indicated on the attached sample and per the instructions given below. A signature line(s) with title should provide the name of the individual(s) who prepared the recommendation.
3. Whenever possible a recommendation should begin with the phrase "It is recommended that the Board of Trustees...." The recommendation should include a clear, precise, and succinct statement of the recommendation, its purpose, rationale and, if appropriate, the date the action will become effective. In addition, the statement should reference any pertinent legal requirements or outside authority or documents.
4. A recommendation should be written in such a way that it will be understood by anyone. This includes Board members; alumni, faculty, and student representatives to the Board; representatives of the media; and the general university community who do not have the advantage of participation in detailed discussions about the recommendation as it is

developed, or the advantage of close familiarity with the internal operations of university units.

5. There may be an attachment to a recommendation. A brief and concise explanation of the attachment should be included in the recommendation. It should not be necessary to read the attachment in order to understand the recommendation.
6. Supporting documents for a recommendation (i.e., brochures, etc.) which cannot be included in the Board Book should be submitted to the Board Office with the recommendation by the "materials due" date. These items will be delivered to the Board members with the Board Book or at a time designated by the preparer of the recommendation.
7. A recommendation is ordinarily reviewed and approved by one or more Board committees before being considered by the Board as a whole.
8. Recommendation for Approval of a Contract: A recommendation for approval of a contract should be submitted after completion of the appropriate approval process. Renewals and modifications of contracts should reference previously executed documents and should contain an explanation of all changes.
9. Recommendation to the Finance Committee: All recommendations to the Finance Committee require the signature of the Sr. Vice President for Administration and Finance. A signature line reading "Reviewed by:" and stating the name and title of the Sr. Vice President for Administration and Finance should be typed below the preparer's signature line.
10. Recommendation Requesting a University Rule Change: All recommendations requesting a university rule change require the signature of General Counsel. A signature line reading "Reviewed by:" and stating the name and title of General Counsel should be typed below the preparer's signature line.

Before requesting a rule amendment, a clean copy of the board rule in the accepted format should be requested from the Board Office. To request a rule amendment, a recommendation and copy of the rule with the changes indicated should be submitted to the Board Office by the materials due date. The Board Office staff will type the rule in the format designated by the State of Ohio Legislative Service Commission and forward both copies of the rule and the recommendation to General Counsel for review. To initiate the adoption of a new rule, a recommendation and the complete text of the rule should be submitted to the Board Office; the rule will be typed in the proper format and the recommendation and rule will be sent to General Counsel. To rescind a rule, a recommendation along with the

current copy of the rule should be submitted to the Board Office; the Board Office will forward them to General Counsel. After review and approval by General Counsel, the recommendation will be returned to the Board Office for submission to the president.

The title of the recommendation for a rule change should state the number, tagline (title), and disposition (adoption, amendment, or rescission) of the rule.

Handouts for Briefings or Recommendations

It is preferred that handouts to be distributed at a Board Meeting be submitted to the Board Office by the "materials due" date with the corresponding briefing summary or Board recommendation. The Board Office staff will distribute the handouts prior to the meeting by placing them at the seat of each member or will distribute them during the meeting at the direction of the submitting individual.

Instructions for Preparation of Submittal Form

The form should be prepared in the same manner as a memo with the words "**Date**," "**Title**," "**Synopsis**," and for briefing summaries the word "**Presenter**" typed in bold at the left margin.

The "**Date**" is the date of submittal of the form. The "**Title**" is the name of the briefing, report, or recommendation. The "**Synopsis**" is a very brief (preferably one sentence) description of the briefing, report, or recommendation. "**Presenter**" is the name(s) of the individual giving the presentation.

A signature line or lines with title indicating the preparer(s) should be placed in the lower right-hand corner of the page. All reports and recommendations require the signature of an officer of the university unless the report or recommendation is initiated by the President. In addition to the signature of the preparer, a recommendation to the Finance Committee requires the signature of the Sr. Vice President for Administration and Finance and a recommendation requesting a university rule change requires the signature of General Counsel (see page 4, paragraphs 9 and 10, Recommendations to the Board of Trustees).

It is the responsibility of the Board Office to submit all summaries, reports, and recommendations to the president for his review and signature.

Confirmation of Board Review and Approval

After the summary, report, or recommendation has been signed by the president and approved by the Board, a copy of the signed and approved summary, report, or recommendation will be forwarded to the preparer.

Related links:

[Board of Trustees](#)
[Board Rules](#)
[Board Meetings Schedule](#)

Phone Contacts:

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| Office of the Board of Trustees | 556-3233 |
| Office of General Counsel | 556-3483 |

Attachment A

**University of Cincinnati
Presentation to the Board of Trustees
For Information**

Date: The date of submittal of the form

Title: **THE NAME OF THE PRESENTATION (ALL CAPS AND BOLD)**

Presenter(s): Presenters Name
Presenters' Title (if any)

Synopsis: The synopsis should contain a clear, precise and succinct statement of the presentation. Summaries of presentations to the Board should be one page or less in length.

Prepared by: _____
Name
Title

FOR BOARD OFFICE USE ONLY:

Date of Board Review: _____ Submitted by: _____
President

Attachment B

University of Cincinnati Report to the Board of Trustees For Information

Date: The date of submittal of the form

Title: **THE NAME OF THE REPORT** (ALL CAPS AND BOLD)

Synopsis: A short report can be submitted as a one-page report. The report should be clear, precise and as succinct as possible.

If the report requires more than one page, this same one-page template should be prepared as a cover sheet for the lengthy report with a brief description (i.e., summary) of the nature of the report and a notation that the report is attached. A signature line(s) with title should provide the name of the individual(s) who prepared the report.

Prepared by: _____

Name
Title

Reviewed by: _____

Name
Title of VP who reviewed

FOR BOARD OFFICE USE ONLY:

Date of Board Acceptance: _____ Submitted by: _____
President

Attachment C

**University of Cincinnati
Recommendation to the Board of Trustees
For Action**

Date: The date of submittal of the form

Title: **THE NAME OF THE RECOMMENDATION** (*ALL CAPS AND BOLD*)

Synopsis: A very brief (preferably one sentence) description of the recommendation

The description of the recommendation must begin with a specific statement of the action to be taken. Such as: **“It is recommended that the Board of Trustees ...”** It should be a clear, precise and succinct statement of the recommendation, its purpose, rationale and, if appropriate, the date the action will become effective. In addition, the description should reference any pertinent legal requirements or outside authority or documentation and should be easily interpreted by anyone.

Prepared by: _____

Name
Title

Reviewed by: _____

Name
Title of VP who reviewed

FOR BOARD OFFICE USE ONLY:

Recommendation Number: _____

Date of Board Approval: _____ Submitted by: _____

President